

THE ROLE OF THE PUBLIC HIGH SCHOOL PRINCIPAL
IN PROFESSIONAL NEGOTIATION

A Field Report
Presented to
The Graduate Division
Drake University

In Partial Fulfillment
of the Requirements for the Degree
Master of Science in Education

by
Ronald Lee Hocking
June 1969


DRAKE LIBRARY

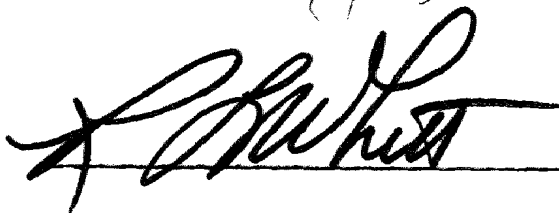
THE ROLE OF THE PUBLIC HIGH SCHOOL PRINCIPAL
IN PROFESSIONAL NEGOTIATION

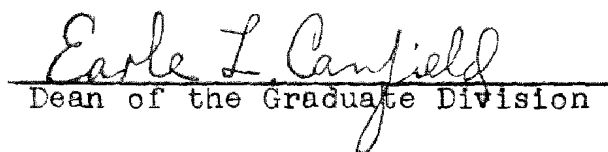
by

Ronald Lee Hocking

Approved by Committee:


Chairman




Dean of the Graduate Division

1969
24659

TABLE OF CONTENTS

CHAPTER	PAGE
I. INTRODUCTION	1
The Problem	2
Statement of the problem	2
Importance of the study	2
Purpose of the Study	2
Procedure	3
Definitions of Terms	4
Professional negotiation	4
Middle management	4
Limitations of the Study	4
II. REVIEW OF LITERATURE	6
Environmental Effects on the Principal's	
Role	6
Expressed Opinions Concerning the	
Principal's Role	10
III. PRESENTATION OF FINDINGS	20
IV. SUMMARY AND RECOMMENDATIONS	32
Summary	33
Recommendations	35
BIBLIOGRAPHY	37
APPENDIX	43

LIST OF TABLES

TABLE	PAGE
I. Participation of the Selected Iowa School Districts and their High School Principals in Professional Negotiation	21
II. Opinions of Selected Iowa High School Principals Concerning the Need of a State Professional Negotiation Law and the Definition of the Principal's Role in Negotiation Sessions	22
III. Opinions of Selected Iowa High School Principals as to their Inclusion of the Teachers' Negotiating Team	24
IV. Recent Participation of Selected Iowa High School Principals in Professional Negotiation Sessions	25
V. Degree of Involvement of Selected Iowa High School Principals in Recent Professional Negotiation Sessions	26
VI. Responses of Selected Iowa High School Principals Concerning What Should Be the Role of the Principal in Professional Negotiation	28
VII. Responses of Selected Iowa High School Principals Concerning What Will Be the Role of the Principal in Professional Negotiation .	30

CHAPTER I

INTRODUCTION

Teacher unrest and expression of concern throughout the United States point clearly to the need for a workable negotiations agreement between boards of education and teachers. Several states already have existing statutes which provide for professional negotiation. The idea of professional negotiation is the leading topic of current discussion in professional teacher associations. The recent Iowa State Education Association Delegate Assembly placed professional negotiations at the top of all legislative priorities for the coming session.

Public school administrators must be aware of their changing role in education, both from the standpoint of their work responsibilities and of their participation in the organized profession. One of the major problems concerning school negotiations is the role of the principal.¹ What will be the role of the public school principal? On which side of the bargaining table should he sit? The answers to these questions are currently being studied and discussed by various administrative groups throughout the country.

¹Gareld Jackson, and others, "Professional Negotiation as Viewed by the Principal," Midland Schools, LXXXII (May-June, 1968), 10.

I. THE PROBLEM

Statement of the problem. The purpose of this study was to determine: (1) what public school principals from selected Iowa high schools feel their role should be, and (2) what it actually is in professional negotiation.

Importance of the study. Few studies concerning the role of the public school principal in professional negotiation have been made and the results published in the state of Iowa. No publication of similar studies conducted in the state of Iowa were available in the Drake University Library at the time of this study. Studies have been published in national publications indicating the concern of school administrators throughout the United States.

From the point of view of professional negotiations, the respective positions of the board and teachers are relatively clear. What is not so clear is the role of the principal. This study attempted to clarify this role.

II. PURPOSE OF THE STUDY

The purpose of this study was to provide information concerning the present role of principals in professional negotiation and what they feel their appropriate role should be. Information has been collected and recommendations have

been made to Iowa school districts as to how the public school principal should be incorporated into professional negotiation.

III. PROCEDURE

The study was initiated with a review of the related literature. Information was obtained from books, current periodicals, pamphlets, and organizational publications.

The second step of the study was to survey the principals of the fifty largest senior high schools in Iowa. This list was obtained from the Iowa State Education Association.

The information was collected by the use of a questionnaire. Ideas for items to be used in the questionnaire were obtained from the research of the related literature. The viewpoints of various authorities served as a guide to the structure and content of the questionnaire. The questionnaire was sent to the twelve junior high school principals in the city of Des Moines to determine its validity.

The data were compiled and the analysis gave a consensus of opinion as to what the principal's role is and what it should be as viewed by the selected principals. From these results, conclusions and recommendations were made.

IV. DEFINITIONS OF TERMS

The following are definitions of terms used in this study:

Professional negotiation. Professional negotiation is a process wherein the parties come to the negotiating table with divergent points of view about various items and through discussion move toward consensus so that an agreement may be reached. Negotiation, as it is used in this study, differs from collective bargaining in that it is structured to conform to the educational environment.

Middle management. Middle management as it is used in this study refers to the intermediate administrators, such as principals, directors, and departmental supervisors.

V. LIMITATIONS OF THE STUDY

This study concentrated on the role of the principal in the total professional negotiation process involving teachers, superintendents, and boards of education concerned with the improvement of the education of youth. The study did not concern itself with a principals' negotiating unit bargaining solely for its own conditions of employment.

Schools used in the survey were selected with regard to size. The survey included the principals of the fifty largest high schools in the state of Iowa. As a result of this sampling, conclusions and recommendations were based on the opinions of principals from the relatively larger school systems in the state.

Literature concerning the role of the public school principal in professional negotiation will be discussed in the following chapter.

CHAPTER II

REVIEW OF LITERATURE

The purpose of this chapter is to present a survey of what educators and other interested persons have written about the role of the public school principal in professional negotiation.

I. ENVIRONMENTAL EFFECTS ON THE PRINCIPAL'S ROLE

The question as to whether or not the principal will be a part of the teachers' bargaining team will often be determined by local circumstances. The two major teachers' organizations, the American Federation of Teachers and the National Education Association, have written policies concerning the inclusion of administrative and supervisory personnel within their ranks.

Principals and supervisors may be included in the American Federation of Teachers. The organization's constitution leaves the question of membership squarely in the hands of local affiliates. The only personnel barred from membership in the locals by the national constitution are superintendents of schools; however, it is the belief of

DRARY LIBRARY

the Federation that principals or other first-line supervisors should be excluded from the teachers' negotiating unit. As with the American Federation of Teachers, local affiliates of the National Education Association are free to organize in any manner which seems most suitable to their purposes.¹

Although these statements depict the philosophy of the two organizations at the national level, a greater split between "labor" and "management" seems to be emerging. Cunningham described the situation as follows:

The precedent of big city AFT contracts, along with the growing sensitivity of the NEA to changes of being a "company union," has made the position of principal within the local organization tenuous at best. In many bargaining agreements, for example, principals, department chairmen, and guidance counselors are excluded from the employees' bargaining team.²

The position of the principal with regard to his relationship to the teachers' representatives at the negotiating table is often determined by the negotiation

¹T. M. Stinnett, Jack Kleinmann, and Martha Ware, Professional Negotiation in Public Education (New York: The Macmillan Company, 1966), pp. 158-59.

²Luvern L. Cunningham, "Implications of Collective Negotiations for the Role of the Principal," Readings on Collective Negotiations in Public Education, Stanley M. Elam, Myron Lieberman, and Michael H. Moskow, eds. (Chicago: Rand McNally and Company, 1967), p. 303.

statute of the state, if one exists. There are several patterns of state legislation on the inclusion or exclusion of administrative personnel in the basic teacher unit. In Oregon, administrative personnel are included by law, and there is no alternative except individual representation. Of those states which do have legislation concerning collective action by public school employees, only Rhode Island specifically prohibits the participation of principals.¹

The interpretation of the state statute by the state labor relations board also greatly determines the environment in which the principal finds himself. For instance, the Michigan Labor Relations Board has interpreted its state statute as prohibiting the participation by principals in the teachers' bargaining unit. The Wisconsin Employee Relations Board has required that each case be judged on its own merits.²

Another factor which has definitely affected the choice of negotiators is the size of the school system. In the large urban districts usually there has been a team of administrative personnel which negotiates for the school

¹Myron Lieberman, and Michael Moskow, Collective Negotiations for Teachers (Chicago: Rand McNally and Company, 1966), p. 158.

²Allen Dale Olson, "The Principal and Professional Negotiation," National Elementary Principal, XLVI (April, 1967), 31.

board. This team is likely to include assistant superintendents, principals, and other supervisors.¹ Some large districts have had full-time permanent personnel for this task. In medium-sized districts, often the assistant superintendent has been in charge of the board's negotiating team which is also very likely to include principals. In the smaller districts the teachers have usually negotiated directly with the board rather than the superintendent or the board's negotiating team. In this situation the principal is probably by-passed.²

Another factor closely related to the size of the school district is the degree to which the principal is an administrator or supervisor as opposed to a classroom teacher. In some districts the principal is a full-time administrator with all the powers to employ and dismiss. In other districts, the majority of the principal's time may be spent in the role of a classroom teacher.³ This evidence would seem to conclude that the role will be partially determined by the special circumstances which exist in each local school district.

¹Lieberman and Moskow, op. cit., pp. 249-50.

²Ibid., p. 250.

³Michael H. Moskow, Teachers and Unions (Philadelphia: University of Pennsylvania, 1966), p. 141.

II. EXPRESSED OPINIONS CONCERNING THE PRINCIPAL'S ROLE

Looking beyond representation, where is the principal's place in negotiation likely to develop? On which side of the bargaining table will the principal sit? Will the traditional role of the principal as an educational leader in the school continue? What will be some of his new responsibilities in the negotiation process? The answers to these questions are important factors which help determine the role of the public school principal in professional negotiation. Epstein stated that: "The role of the principal in the pioneer phases of teacher-board negotiations and joint policy-making has as yet not become clearly defined or established."¹ In some districts the principal has been included in the teachers' negotiating team. In other localities principals have served as consultants to or participants of the administrative team. There have also been several instances where there has been no involvement whatsoever of principals in the negotiation process.²

¹Benjamin Epstein, "The NASSP and Collective Negotiations," Readings on Collective Negotiations in Public Education, Stanley M. Elam, Myron Lieberman, and Michael H. Moskow, eds. (Chicago: Rand McNally and Company, 1967), p. 188.

²Ibid.

Principals are very much involved with the decisions which are made at the negotiating table; therefore, they should be directly involved with the making of these decisions. Epstein, speaking for the National Association of Secondary-School Principals said:

Since so very much of all negotiations between teachers and school boards in one way or another impinges upon the principals' functions and status, principals are pressing for participation in the negotiations. . . less and less as part of a general professional unit and more and more as an independent unit at the negotiating table or as a part of the administrative team involved in negotiations. . . the latter more usual in small communities, the former in larger school systems.

Principals see no ominous threat to themselves in collective negotiations. They do, however, strongly assert that their own absence from such negotiations is indefensible. Their presence would produce more workable and more satisfactory agreements. Principals might even ask for some items for teachers that the teachers themselves would be apt to overlook.

Principals welcome the concept of formal across-the-table negotiations between teachers vis-a-vis their employers, the school boards plus their administrative and supervisory staffs of superintendents and principals. We believe that such negotiations will bring greater dignity to the teaching profession as well as greater respect for teachers by others and by teachers for themselves.¹

From the point of view of professional negotiations, the respective positions of the board and teachers are relatively clear. What is not so clear is the role of the principal who is often classified as "middle management."

¹Ibid., p. 194.

Cunningham pointed out that the principals who have maintained excellent principal-staff interaction involving educational problems of mutual concern will satisfactorily emerge from the negotiation process. On the other hand, the principal who has derived his authority from the title of his office will not successfully survive the change.¹ Summarizing his views on the appropriate role of the principal at the bargaining table, Cunningham stated: "About all that we can say definitely is that if the principal is to be heard, he must be heard as a member of the administrative team rather than as a spokesman for the teachers."²

Cunningham discussed another item which may be a hint as to the future role of the principal in professional negotiations. The Carnegie Corporation and the United States Office of Education are currently involved in the development of a national assessment program. Due to modern technology, many new instruments are available which principals could use for assessment of the productivity of the school enterprise.³ Cunningham said:

Principals will have a powerful new tool for institutional control. They will be able to provide superintendents and board members with extensive data which top

¹Cunningham, op. cit., p. 304.

²Ibid., p. 303.

³Ibid., p. 311.

educational management can bring to the bargaining table. These data will become a part of the bargaining exchange. . .if the data are positive in terms of reporting good productivity they provide top management with one set of strategies. On the other hand, if teacher performance has been shabby such data provide the board with quite another bargaining perspective.¹

The American Association of School Administrators believes that principals and supervisors must be active participants in the negotiating process, probably as a part of the administrative team. Its opinion is stated as follows:

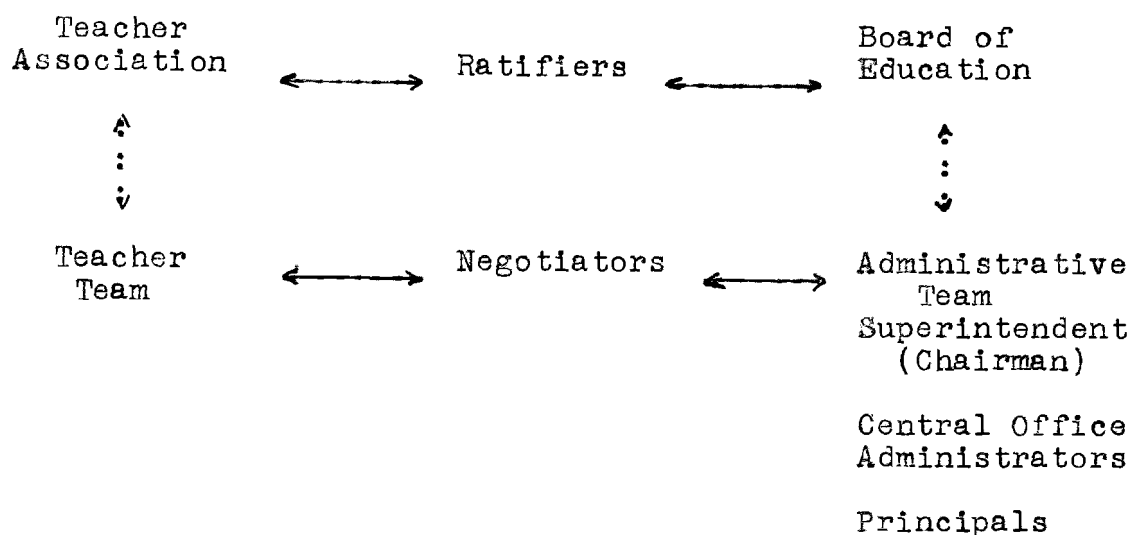
If representatives of principals and supervisors participate on the administrative team as regular members, they will be able to understand better what is going on. They won't have to get information in a second -- or third -- hand manner. Principals and supervisors ultimately have important functions to perform in the implementation of negotiated agreements. Active representation in the negotiation process facilitates the orientation of administrators and supervisors when it comes time to explain the meaning of the agreement or contract.²

It is difficult to specify for any one school system the precise roles of administrators and supervisors in the negotiation process. What is important is for each school system to clearly define roles before negotiation begins. There are many models of negotiation now in operation

¹Ibid., p. 312.

²American Association of School Administrators, School Administrators View Professional Negotiations (Washington: The Department of the American Association of School Administrators, National Education Association, 1966), p. 39.

throughout the United States. Each school system must choose a model which it feels is best suited to its own unique situation. The diagram below illustrates one such model for "across the table negotiation."¹



It is necessary to consider all requests at the negotiating table in light of their affects on the total educational process. Many of the teachers' requests will affect the manner in which the principal will run the school. A few examples of popular request would include the following: relief from nonteaching chores, extra duty assignments, limitations on number of teaching periods per day, duty-free lunch periods, and use of teacher aides. The

¹Ibid., p. 35.

"middle managers" are probably in the best position to predict what influences the proposed changes will have on the education of youth. Since many of the requests will influence the administration of the local school, the principal must also be involved in the negotiation sessions so that he will be able to adequately implement the agreements.¹

The National Association of Secondary-School Principals believes that teachers, principals, superintendents, and school boards must be united in a working partnership directed toward improving the education of youth. The principal is held accountable for every phase of a school's life; therefore, he must have a voice in all educational decisions being made at the conference table. Specific roles for the principal in professional negotiations are suggested by the National Association of Secondary-School Principals and are summarized by Epstein as follows:

In small school districts where principals are few in number, they should be active members of the administrative team involved in negotiations. In larger communities, principals may find it both necessary and effective to organize strong negotiating units of their own or, cooperatively, with other administrators and supervisors.²

Some educators feel that the role of the principal throughout negotiations must be one of a "check and balance,"

¹ Ibid., p. 70.

² Benjamin Epstein, The Principal's Role in Collective Negotiations between Teachers and School Boards (Washington: National Association of Secondary-School Principals, 1965), p. 10.

agent. This means that he will be a mediator for the learner. Since his position is that of a middleman, he is the one who should rise up above all controversy and speak objectively concerning learning and the learner.¹

The National Education Association infers that the principal can be a part of the local teacher association and be an effective member of its negotiating team. Carr summarized the view of the Association as follows:

One cannot give pat formulas concerning the principal's role in professional negotiation. In the final analysis, the most appropriate pattern for negotiation should be left to local preference, based upon unique local circumstances. Certainly, where a tradition of effective action by the local professional staff has been developed and is working well, the policy should be continued. Above all, principals must not be spectators when decisions are made about the course of education in their communities. They belong with their colleagues, in their professional associations. Inaction and disinterest separate, and alienate teachers and principals as surely as open hostility.²

In support of this idea is Olson who stated that most principals feel they should be involved in the negotiation process, usually as members of the inclusive teachers' associations.³

¹Harold T. Shafer, "Teacher Power and the Middleman in Education," Theory into Practice, VII (April, 1968), 72-73.

²William G. Carr, "Principal's Role in Professional Negotiation," Bulletin of the National Association of Secondary-School Principals, L (April, 1966), 53.

³Olson, op. cit., p. 32.

Other educators have suggested that the role of the principal should be one of an advisory capacity. He would not actually belong to either negotiating team but would be a consultant to both sides. Followers of this school of thought believe that the principal should provide both the superintendent and the teachers with pertinent information. The principal is often in the best position to identify situations causing dissatisfaction and can make suggestions to aid their remedy.¹ Often the principal is in accord with the objectives of the teachers; however, he must be free to disagree whenever he feels that their desires may be injurious to the educational program.²

King discussed arguments against including the principal on the teachers' negotiating team. These arguments included:

1. A fear of administrative coercion.
2. An apparent or assumed conflict of interests.
3. A weakening of the teacher position if the interests of the principal are considered.
4. A "suspect" attitude toward the principal as the superintendent's agent.
5. A feeling that the principal's role as a member of the teachers' group is incompatible with his role as the first rung of the administrative ladder in all grievance procedures.³

¹Harry A. Becker, "The Role of School Administrators in Professional Negotiations," American School Board Journal, L (May, 1965), 9.

²James C. King, "New Directions for Collective Negotiation," National Elementary Principal, XLVII (September, 1967), 45.

³Ibid., p. 46.

King also stated reasons for the inclusion of the principal on the teachers' negotiating team:

1. Administrative and faculty concerns cannot rationally be separated.
2. A common sense approach to problems avoids coercion.
3. The process democratizes and actually strengthens administrative authority.
4. Both principals and teachers are agents of the board of education.
5. Involving principals assures that their major needs will be considered.¹

The Ohio Department of Elementary School Principals feels that the principal must be heard as to how proposed negotiation matters would positively or negatively affect the school program.² The Iowa Department of Elementary School Principals and the Iowa Association of Secondary School Principals stated its beliefs in a joint position paper:

The principal's first responsibility is to the students and to the maintenance of a proper learning environment. Thus, if conflicts arise as a result of professional negotiations, the primary concern of the principal must be the welfare of the student.³

This chapter has presented a review of the writings of educators and other interested persons concerned with

¹Ibid.

²Don Gilbert, Professional Negotiations and the Elementary School Principal (Columbus, Ohio: Ohio Department of Elementary School Principals, 1967), p. 5.

³Jackson, and others, op. cit., p. 10.

the role of the public school principal in professional negotiation.

Chapter III reports the findings of the survey which was conducted by the use of a questionnaire.

CHAPTER III

PRESENTATION OF FINDINGS

The information found in this chapter was collected by the use of a questionnaire. Ideas for items to be used in the questionnaire were obtained from the research of the related literature. The viewpoints of various authorities served as a guide to the structure and content of the questionnaire.

The questionnaire was sent to the twelve junior high school principals in the city of Des Moines to determine its validity. Certain corrections were made and a revised questionnaire resulted. The "cover" letter and final questionnaire appear in Appendix A.

Questionnaires were also sent to the principals of the fifty largest public senior high schools in the state of Iowa. This list was obtained from the Iowa State Education Association and appears in Appendix B. Forty-eight of the principals completed the questionnaire. The findings of the survey have been reported in this chapter.

The responses to the first item of the questionnaire indicated that the study had included Iowa senior high schools with enrollments of 474 to 2,300 students.

Table I illustrates the current involvement of the principals and school districts in professional negotiation.

TABLE I
PARTICIPATION OF THE SELECTED IOWA SCHOOL DISTRICTS
AND THEIR HIGH SCHOOL PRINCIPALS
IN PROFESSIONAL NEGOTIATION

Selected Items in the Questionnaire	Involved	Not Involved
School districts involved in professional negotiation	27	20
Principals involved in professional negotiation	9	39

Twenty-seven of the principals stated that their school districts were involved in professional negotiation. Twenty said that their districts were not involved. One principal did not answer this question. Only nine principals had recently been included in professional negotiation sessions.

The responses of the principals to several items appearing in the questionnaire are illustrated in Table II.

TABLE II

OPINIONS OF SELECTED IOWA HIGH SCHOOL PRINCIPALS
CONCERNING THE NEED OF A STATE PROFESSIONAL
NEGOTIATION LAW AND THE DEFINITION OF THE
PRINCIPAL'S ROLE IN NEGOTIATION SESSIONS

Selected Items in the Questionnaire	Number of Principals Indicating		
	Yes	No	Un- decided
Principal's role is clearly defined in the school district	11	34	1
Principal should actively participate in the negotiation sessions	35	7	6
Iowa has need of a state professional negotiation law	31	7	10
Principal's role should be specifically defined	23	6	5
Principals should be included as members of local affiliate of AFT or NEA	26	9	11

To the question, "Do you feel that the role of the principal in teacher-board negotiations and joint policy-making is clearly defined or established in your school district?" thirty-four of the principals responded negatively. One of the principals who answered "yes" to the question restricted his answer to joint policy-making.

Another principal stated that the situation was presently being proposed in his school district. The question was not answered by one principal.

The principals were then asked to respond to the question, "Should the principal be an active participant in professional negotiation sessions?" Thirty-five principals felt that the principal should be an active participant. Six principals were undecided with reference to this item.

The principals were asked if Iowa needs a state law concerning professional negotiation. Thirty-one principals believed that such a law should be established; ten stated that they were undecided about the issue.

Of those principals indicating a need for a state law concerning professional negotiation twenty-three felt that the principal's role should be specifically defined. Six principals stated that the principal's role should not be specifically defined.

To the question, "Should principals be included as members of either the local affiliate of the American Federation of Teachers or the local association of the National Education Association?" twenty-six principals responded with a positive answer and nine responded negatively. Eleven principals were undecided with

reference to this item. Of the principals answering "yes" to the question, three of them restricted their positive answers to the local association of the National Education Association. One principal pointed out that in certain districts unified membership exists and that to be a member of the National Education Association one also has to be affiliated with the local association. This question was not answered by one principal.

The next question asked, "Should the principal ever be included in the negotiation sessions as a member of the teachers' negotiating team?" The reactions to this question are given in Table III.

TABLE III
OPINIONS OF SELECTED IOWA HIGH SCHOOL PRINCIPALS
AS TO THEIR INCLUSION ON THE TEACHERS'
NEGOTIATING TEAM

Questionnaire Item	Number of Principals Indicating			
	Yes	No	Undecided	Dependent on Local Circumstances
Principals should be included on the teachers' negotiat- ing team	11	17	7	13

Seventeen principals felt that they should not be included as members of the teachers' negotiating team. Thirteen believed that the answer to this question was dependent on the local circumstances. Eleven principals answered the question positively and seven were undecided with regard to the item.

The nine principals who had recently been involved in professional negotiation sessions (Table I) were then asked about their role in the sessions. Their participation is illustrated in Table IV.

TABLE IV
RECENT PARTICIPATION OF SELECTED IOWA HIGH SCHOOL
PRINCIPALS IN PROFESSIONAL NEGOTIATION SESSIONS

Role of the Principal	Number of Principals
Member of the teachers' negotiating team	3
Member of the administrative negotiating team	4
Advisor to the teachers' negotiating team	3
Advisor to the administrative negotiating team	2
Advisor and consultant to both teams	0
Independent voice in the negotiation	1
No involvement	0
Other (Please specify) <u>Board Member</u>	1

Four of the principals stated that they had served as members of the administrative negotiating team, and three principals had served as members of the teachers' negotiating team. Three principals had participated as advisors to the teachers' negotiating team, and two principals had been involved as advisors to the administrative negotiating team.

The degree of involvement of these principals in recent professional negotiation sessions is shown in Table V.

TABLE V
DEGREE OF INVOLVEMENT OF SELECTED IOWA HIGH SCHOOL
PRINCIPALS IN RECENT PROFESSIONAL
NEGOTIATION SESSIONS

Role of the Principal	Number of Principals Designating Degree of Involvement*		
	1	2	3
Member of the teachers' negotiating team	3	0	0
Member of the administrative negotiating team	3	1	0
Advisor to the teachers' negotiating team	1	2	0
Advisor to the administrative negotiating team	1	0	1

*1 = greatest degree of involvement
2 = moderate degree of involvement
3 = least degree of involvement

TABLE V (continued)

Role of the Principal	Number of Principals Designating Degree of Involvement*		
	1	2	3
Advisor and consultant to both teams	0	0	0
Independent voice in the negotiation	1	0	0
No involvement	0	0	0
Other (Please specify) <u>Board Member</u>	0	1	0

*1 = greatest degree of involvement

2 = moderate degree of involvement

3 = least degree of involvement

All nine of these principals who had assumed roles in recent negotiation sessions stated that they had been involved in the process. Each of the principals stated the one or more capacities in which he served at the negotiation sessions. Three principals stated that their greatest degree of involvement was as members of the teachers' negotiating team, and three other principals believed that their greatest degree of service was as members of the administrative negotiating team. One principal said that he had served primarily as an advisor to the teachers' negotiating team, and another had served as an advisor to the administrative negotiating team. One principal felt that his greatest degree of involvement was in the form of an

independent voice in the negotiation.

The principals were then asked the question, "What do you believe should be the role of the public school principal in professional negotiation?" Their responses to this question are illustrated in Table VI. Six of the principals checked more than one role which they felt should be assumed by the principal in professional negotiation. Twenty-two principals felt that the principal's role should be one of an advisor and consultant

TABLE VI

RESPONSES OF SELECTED IOWA HIGH SCHOOL PRINCIPALS
CONCERNING WHAT SHOULD BE THE ROLE OF THE
PRINCIPAL IN PROFESSIONAL NEGOTIATION

Role of the Principal	Number of Replies
Member of the teachers' negotiating team	2
Member of the administrative negotiating team	13
Advisor to the teachers' negotiating team	6
Advisor to the administrative negotiating team	7
Advisor and consultant to both teams	22
Independent voice in the negotiation	4
No involvement	1
Other (Please specify) _____	0

to both teams. Thirteen principals believed that the principal should serve as a member of the administrative negotiating team. Seven principals stated that he should serve primarily as an advisor to the administrative negotiating team, and six felt that he should be an advisor to the teachers' negotiating team. Only one principal stated the principal should not be involved in the negotiation.

In the next question the principals were asked "What do you believe will be the role of the public school principal in professional negotiation?" The responses of the principals are given in Table VII. Five of the principals checked more than one role which they felt will be assumed by the principal in professional negotiation. Twenty-three principals felt that the role of the principal in professional negotiation will be served as a member of the administrative negotiating team. Eight stated that the principal would serve as an advisor to the administrative negotiating team. Seven principals believed that the role of the principal in professional negotiation would be serving as an advisor and consultant to both teams. Five principals felt that the role of such a principal would be an independent voice in the negotiation, and four expressed belief that the principal would not be involved. None of

TABLE VII

RESPONSES OF SELECTED IOWA HIGH SCHOOL PRINCIPALS
CONCERNING WHAT WILL BE THE ROLE OF THE
PRINCIPAL IN PROFESSIONAL NEGOTIATION

Role of the Principal	Number of Replies
Member of the teachers' negotiating team	0
Member of the administrative negotiating team	23
Advisor to the teachers' negotiating team	2
Advisor to the administrative negotiating team	8
Advisor and consultant to both teams	7
Independent voice in the negotiation	5
No involvement	4
Other (Please specify)	
(a) Uncertain	2
(b) Principal will be in between as usual	1
(c) Dependent on the school and district	1

the principals said that the role will be fulfilled as a member of the teachers' negotiating team, and only two felt that the role of the principal in professional negotiating team would be an advisor to the teachers' negotiating team.

The final request asked of the principals was of the "open end" variety. "If you feel that an answer to these

items needs qualification, please feel free to qualify your answer or to make any other comments which will be of benefit to the study." Four principals made comments which pertained to individual items appearing in the questionnaire. These comments were presented as part of the preceding data.

CHAPTER IV

SUMMARY AND RECOMMENDATIONS

The purpose of this study was to provide information concerning the present role of principals in professional negotiation and what they feel their appropriate role should be. This study concentrated on the role of the principal in the total professional negotiation process involving teachers, superintendents, and boards of education concerned with the improvement of the education of youth. The study did not concern itself with a principals' negotiating unit bargaining solely for its own conditions of employment.

A survey of related literature was carried out by the investigator to determine the attitudes and ideas of authors interested in the role of the principal in professional negotiation. A review of these attitudes and ideas was given in Chapter II.

Responses to the questionnaires which were sent to the principals of the fifty largest high schools in the state of Iowa were reported in Chapter III. It was the purpose of this chapter to present a summary and accompanying recommendations based upon those findings.

I. SUMMARY

From the first item in the questionnaire it was determined that this study had surveyed principals of senior high schools having enrollments which range from 474 to 2,300. As a result of this sampling, conclusions and recommendations were based on the opinions of principals from the relatively larger school systems in the state.

A majority of the principals polled were employed by school districts which were involved in professional negotiation. A large majority of the principals stated that Iowa needs a state law concerning professional negotiation. Most of these same principals felt that such a law should define the role of the principal in professional negotiation.

The opinion of the principals was strongly in favor of active participation in professional negotiation sessions. A majority believed that they should be included as members of either the local affiliate of the American Federation of Teachers or the local association of the National Education Association. Eleven principals were undecided with reference to this question.

To the question, "Should the principal ever be included in the negotiation sessions as a member of the teachers' negotiating team?" a majority opinion was not attained. The negative response received the most tallies; however, thirteen principals stated that the decision was dependent on the local circumstances.

A large majority of the principals who were surveyed felt that their role in teacher-board negotiations and joint policy-making was not clearly defined or established in their respective school districts.

This study was undertaken for the purpose of answering the following questions: What should be the role of the public school principal in professional negotiation and on which side of the bargaining table should he sit? What is the principal's current role and what will be his future role in professional negotiation?

A consensus of opinion as to what should be the role of the public school principal in professional negotiation pointed toward the position of advisor and consultant to both teams. This would indicate that the principal should not be seated on a particular side of the bargaining table. According to the survey if the principals were to be placed on a particular negotiating team, it should be the administrative team.

Only nine of the principals indicated that they had recently been included in professional negotiation sessions. In these negotiation sessions they had served primarily as members of the administrative negotiating team or as members of the teachers' negotiating team. Advisor to the teachers' or administrative negotiating team seemed to be a secondary capacity served by the principal. It was generally felt that the future role of the principal will be that of a member of the administrative negotiating team.

II. RECOMMENDATIONS

As a result of this study the following recommendations are made. The first recommendation is for the enactment of appropriate legislation in the form of a state law concerning professional negotiation in Iowa. Such a law should specifically define the role of the principal in professional negotiation.

The second recommendation of this study is that the role of the principal in professional negotiation be one of an advisory capacity. By serving as an advisor and consultant to both the teachers' negotiating team and the administrative negotiating team, the principal will best be able to work for the improvement of the education of youth.

The third recommendation is for further study which is needed in this area. This report concentrated on the role of the principal in the total professional negotiation process involving teachers, superintendents, and boards of education. A study is needed which concerns itself with a principals' negotiating unit bargaining solely for its own conditions of employment. Who will negotiate for the principals?

Conclusions and recommendations of this field report were based on the opinions of principals from the relatively larger school systems in the state. There is need for a study which would survey the principals from the many smaller Iowa school districts regarding what they believe to be the role of the high school principal in professional negotiation.

BIBLIOGRAPHY

BIBLIOGRAPHY

A. BOOKS

- Allen, Roy, and John Schmid (eds.). Collective Negotiations and Educational Administration. Fayetteville, Arkansas: University of Arkansas and U.C.E.A., 1966.
- Elam, Stanley M., Myron Lieberman, and Michael H. Moskow (comp.). Readings on Collective Negotiations in Public Education. Chicago: Rand McNally and Company, 1967.
- Lieberman, Myron and Michael Moskow. Collective Negotiations for Teachers. Chicago: Rand McNally and Company, 1966.
- Moskow, Michael H. Teachers and Unions. Philadelphia: University of Pennsylvania, 1966.
- Ohm, R. E., and O. D. Johns (eds.). Negotiations in the Schools. Norman, Oklahoma: University of Oklahoma, 1965.
- Stinnett, T. M., Jack Kleinmann, and Martha Ware. Professional Negotiation in Public Education. New York: The Macmillan Company, 1966.

B. PERIODICALS

- Asnard, Robert R. "Directions in Negotiation," National Elementary Principal, XLVIII (September, 1968), 21-23.
- Becker, Harry A. "The Role of School Administrators in Professional Negotiations," American School Board Journal, L (May, 1965), 9-10.
- Blanke, Virgil E. "Teachers in Search of Power," The American School Board Journal, CLI (November, 1965), 7-9.
- Bloom, Arnold M. "More Militant Profession," American School and University, XXXVII (October, 1964), 17.

- Carr, William G. "Principal's Role in Professional Negotiation," Bulletin of the National Association of Secondary-School Principals, L (April, 1966), 45-56; Excerpts: New York State Education, LIII (April, 1966), 24-25; NEA Journal, LV (May, 1966), 45-46.
- Cherry, Howard L. "Negotiations between Boards and Teacher Organizations," American School Board Journal, CXLVI (March, 1963), 7-9.
- Cunningham, L. L. "Collective Negotiations and the Principalship," Theory into Practice, VII (April, 1968), 62-70.
- Dashiell, Dick. "State PN Legislation," Today's Education, LVII (October, 1968), 50-60.
- Doherty, Robert E. "Public Interest at Stake," American School Board Journal, CLIII (October, 1967), 10-15.
- Elam, Stanley. "Rift without Differences," Nation, CCI (October 18, 1965), 247-49.
- Epstein, Benjamin. "Negotiation versus Bargaining; Review of the Principal's Role in Collective Negotiations between Teachers and School Boards by T. M. Stinnett and others," Bulletin of the National Association of Secondary School Principals, L (September, 1966), 103-10.
- _____. "What Status and Voice of Principals and Administrators in Collective Bargaining and Professional Negotiation by Teacher Organizations?" Bulletin of the National Association of Secondary School Principals, XLVIX (March, 1965), 226-59.
- _____. "Why Principals Want to Negotiate for Themselves," Nation's Schools, LXXVIII (October, 1966), 66-67.
- Evans, Seymour. "The Superintendent's Dilemma," American School Board Journal, CLV (November, 1967), 10-12.
- Exton, Elaine. "NEA Blueprint for Professional Negotiation," American School Board Journal, CXLVII (September, 1963), 35-37.
- Eyck, Allan Ten. "Principals on the Negotiation Team," National Elementary Principal, XLVII (November, 1967), 52-53.

- Garber, Lee O. "How to Free Superintendents from Negotiation Hazards," Nation's Schools, LXXVII (March, 1966), 139.
- Gross, Calvin. "Ways to Deal with the New Teacher Militancy," Phi Delta Kappan, XLVI (December, 1964), 147-51.
- Hopkins, M. D. "Development of a Collective Bargaining Relationship," Bulletin of the National Association of Secondary School Principals, LII (May, 1968), 93-104.
- Jackson, Gareld, and others. "Professional Negotiation as Viewed by the Principal," Midland Schools, LXXXII (May-June, 1968), 10-11.
- King, James C. "New Directions for Collective Negotiation," National Elementary Principal, XLVII (September, 1967), 40-47.
- Lieberman, Myron. "Collective Negotiations: Status and Trends," American School Board Journal, CLV (October, 1967), 7-10.
- _____. "Who Speaks for Teachers?" Saturday Review, (June 19, 1965), 64-65, 74-75.
- Michael, L. S. "Principal and Trends in Professional Negotiations," Bulletin of the National Association of Secondary School Principals, LII (May, 1968), 105-09.
- Nolte, M. C. "Teacher Militancy May Be Counter-Pressure," American School Board Journal, CLI (October, 1965), 7-8.
- Olson, Allen Dale. "The Principal and Professional Negotiation," National Elementary Principal, XLVI (April, 1967), 31-32.
- Rasmussen, L. V. "New Role for the Middleman," American School Board Journal, CLV (February, 1968), 10-11.
- Redfern, G. B. "Negotiation Changes Principal-Teacher Relationships," National Elementary Principal, XLVII (April, 1968), 20-25.
- Rice, A. H. "NEA Assigns Administrators to Second Class Membership," Nation's Schools, LXXVI (September, 1965), 38.

- Rice, Arthur. "Why Teachers Do Not Accept Superintendent as Spokesman," Nation's Schools, LXXV (April, 1965), 36.
- Shafer, Harold T. "Teacher Power and the Middleman in Education," Theory into Practice, VII (April, 1968), 71-75.
- Stinnett, T. M. "Professional Negotiation, Collective Bargaining, Sanctions, and Strikes," Bulletin of the National Association of Secondary School Principals, XLVIII (April, 1964), 93-105.
- Stumpf, W. A. "New World of Educational Administration: Teacher Militancy," American School Board Journal, CLII (February, 1966), 10.
- Taffell, Alexander. "The Principal and Teacher - School Board Negotiations," Bulletin of the National Association of Secondary School Principals, LII (September, 1968), 71-83.
- Turnbaugh, R. C. "How to Set Teacher Negotiation Policy," Nation's Schools, LXXVII (March, 1966), 1347.
- West, Allan M. "Professional Negotiations or Collective Bargaining?" National Elementary Principal, XLII (February, 1963), 20-25.

C. PUBLICATIONS OF ORGANIZATIONS

- American Association of School Administrators. Roles, Responsibilities, Relationships of the School Board, Superintendent, and Staff. Washington: American Association of School Administrators, 1963.
- _____. School Administrators View Professional Negotiations. Washington: American Association of School Administrators, 1966.
- Epstein, Benjamin. The Principal's Role in Collective Negotiations between Teachers and School Boards. Washington: National Association of Secondary School Principals, 1965.
- Gilbert, Don. Professional Negotiations and the Elementary School Principal. Columbus, Ohio: Ohio Department of Elementary School Principals, 1967.

Iowa State Education Association, Professional Relations Division. Guidelines for Professional Negotiation in Iowa. Des Moines, Iowa: Iowa State Education Association, 1967.

_____. Guidelines for Professional Sanctions. Des Moines, Iowa: Iowa State Education Association, 1967.

_____. Professional Negotiation. Des Moines, Iowa: Iowa State Education Association, 1968.

National Education Association, Office of Professional Development and Welfare. Guidelines for Professional Negotiation. Washington: National Education Association, 1963.

_____. Guidelines for Professional Negotiation. Washington: National Education Association, 1965.

_____. Professional Negotiation: Selected Statements of School Board, Administrator, Teacher Relationships. Washington: National Education Association, 1965.

APPENDIX

APPENDIX A

SURVEY LETTER

November 12, 1968

Dear Principal:

I am working on my thesis for my Master's Degree from Drake University and would appreciate your cooperation in helping me to acquire the desired information.

I am sending questionnaires to the principals of the fifty largest high schools in the state of Iowa. The purpose of this study is to provide information concerning the present role of principals in professional negotiation and what they feel their appropriate role should be.

It is vital that a good response be obtained from those to whom the questionnaire is sent. I would appreciate your filling in the responses as soon as possible and returning the questionnaire in the prepaid self-addressed envelope. Thank you for your cooperation.

Sincerely yours,

/s/ Ronald L. Hocking
Ronald L. Hocking

SURVEY QUESTIONNAIRE

Please check your response(s) to the following items.

As used in this questionnaire, "professional negotiation" is defined as follows: A process wherein the parties come to the negotiating table with divergent points of view about various items and through discussion move toward consensus so that an agreement may be reached.

1. What is the current enrollment of your school? _____
2. Is your school district involved in professional negotiation?
Yes _____ No _____
3. Do you feel that Iowa needs a state law concerning professional negotiation?
Yes _____ No _____ Undecided _____
4. If your answer to Item 3 is yes, do you feel that such a law should specifically define the role of the principal in professional negotiation?
Yes _____ No _____ Undecided _____
5. Should principals be included as members of either the local affiliate of the American Federation of Teachers or the Local Association of the National Education Association?
Yes _____ No _____ Undecided _____

6. Should the principal be an active participant in professional negotiation sessions? (that is, being present and contributing to the discussions.)
- Yes _____ No _____ Undecided _____
7. Should the principal ever be included in the negotiation sessions as a member of the Teachers' Negotiating Team?
- Yes _____ No _____ Undecided _____
- Dependent on the local circumstances _____
8. Do you feel that the role of the principal in teacher-board negotiations and joint policy-making is clearly defined or established in your school district?
- Yes _____ No _____ Undecided _____
9. Have you recently been included in professional negotiation sessions?
- Yes _____ No _____
10. If your answer to Item 9 is yes, what role did you play in the negotiation session? (If your participation included more than one of the following, rank the items according to the degree of involvement. That is, 1 = greatest degree of involvement, 2 = moderate degree of involvement, and 3 = least degree of involvement.)
- _____ Member of the teachers' negotiating team.
- _____ Member of the administrative negotiating team.
- _____ Advisor to the teachers' negotiating team.
- _____ Advisor to the administrative negotiating team.
- _____ Advisor and consultant to both teams.
- _____ Independent voice in the negotiation.
- _____ No involvement.
- _____ Other (Please specify) _____

11. What do you believe should be the role of the public school principal in professional negotiation?

_____ Member of the teachers' negotiating team.
_____ Member of the administrative negotiating team.
_____ Advisor to the teachers' negotiating team.
_____ Advisor to the administrative negotiating team.
_____ Advisor and consultant to both teams.
_____ Independent voice in the negotiation.
_____ No involvement.
_____ Other (Please specify) _____

12. What do you believe will be the role of the public school principal in professional negotiation?

_____ Member of the teachers' negotiating team.
_____ Member of the administrative negotiating team.
_____ Advisor to the teachers' negotiating team.
_____ Advisor to the administrative negotiating team.
_____ Advisor and consultant to both teams.
_____ Independent voice in the negotiation.
_____ No involvement.
_____ Other (Please specify) _____

13. If you feel that an answer to these items needs qualification, please feel free to qualify your answer or to make any other comments which will be of benefit to the study.

APPENDIX B

SCHOOLS SELECTED FOR SURVEY RANKED BY
ENROLLMENT OF DISTRICTS

Senior High School	School District
East	Des Moines
Herbert Hoover	Des Moines
Abraham Lincoln	Des Moines
North	Des Moines
Theodore Roosevelt	Des Moines
Des Moines Technical	Des Moines
Thomas Jefferson	Cedar Rapids
John F. Kennedy	Cedar Rapids
George Washington	Cedar Rapids
Central	Davenport
West	Davenport
East	Waterloo
Orange	Waterloo
West	Waterloo
Central	Sioux City
East	Sioux City
Leeds	Sioux City
Thomas Jefferson	Council Bluffs
Abraham Lincoln	Council Bluffs
Dubuque	Dubuque
Ottumwa	Ottumwa
Iowa City	Iowa City
Fort Dodge	Fort Dodge
Burlington	Burlington
Mason City	Mason City
Clinton	Clinton
Cedar Falls	Cedar Falls
Muscatine	Muscatine
Marshalltown	Marshalltown
Ames	Ames
Newton	Newton
Valley	West Des Moines
Bettendorf	Bettendorf
Fort Madison	Fort Madison
Keokuk	Keokuk

APPENDIX B (continued)

Senior High School	School District
Fairfield	Fairfield
Oskaloosa	Oskaloosa
Charles City	Charles City
Southeast Polk	Southeast Polk
Boone	Boone
Webster City	Webster City
Indianola	Indianola
Grinnell-Newburg	Grinnell-Newburg
Saydel	Saydel
Marion	Marion
Ankeny	Ankeny
Urbandale	Urbandale
Waverly-Shell Rock	Waverly-Shell Rock
Atlantic	Atlantic
Spencer	Spencer
